



1 ENERGY AND ENVIRONMENT CABINET

2 Department for Natural Resources

3 Division of Mine Permits

4 (Amendment)

5 405 KAR 8:010. General provisions for permits.

6 RELATES TO: KRS 61.870-61.884, 146.200-146.360, 322.010(3), 322.340, 350.020,  
7 350.055, 350.060, 350.070, 350.085, 350.090, 350.130, 350.135, 350.450, 350.465, 350.500-  
8 350.521, 424.110-424.120, 27 C.F.R. 555.206, 555.218, 555.219, 555.220, 30 C.F.R. 77.1301(c),  
9 730-733, 735, 775, 777, 778.17, 870, 917, 16 U.S.C. 470aa-mm, 470x-6, 661-667e16, 668-668d,  
10 703-712, 1531-1544, 30 U.S.C. 1253, 1255-1261, 1263-1266, 1272

11 STATUTORY AUTHORITY: KRS 350.020, 350.028, 350.060, 350.135, 350.450,  
12 350.465, 350.515, 30 C.F.R. Parts 730-733, 735, 773-775, 777, 778.17, 917, 16 U.S.C. 661-  
13 667e16, 668a, 703-712, 1531-1544, 30 U.S.C. 1253, 1255-1261, 1263-1266, 1272

14 NECESSITY, FUNCTION, AND CONFORMITY: KRS 350.028 and 350.465 require the  
15 cabinet to promulgate rules and administrative regulations pertaining to permits for surface coal  
16 mining and reclamation operations. This administrative regulation establishes provisions for  
17 permits to conduct these operations, including the conditions for which permits are required,  
18 application deadlines, requirements for applications for permanent program permits, fees,  
19 verification of applications, public notice requirements, submission of comments on permit  
20 applications, the right to file objections, informal conferences, review of the permit applications,  
21 criteria for application approval or denial and relevant actions, term of the permits, conditions of

permits, review of outstanding permits, revisions of permits, amendments, renewals, transfers, assignments, sales of permit rights, administrative and judicial review, and procedures relating to improvidently issued permits.

Section 1. Applicability. Excluding coal exploration operations, this administrative regulation shall apply to applications, actions regarding permits, and surface coal mining and reclamation operations.

Section 2. General Requirements. (1) Permanent program permits required. A person shall not engage in surface coal mining and reclamation operations unless that person has first obtained a valid permanent program permit pursuant to 405 KAR Chapter 8.

(2) General filing requirements for permanent program permit applications.

(a) Each person who intends to engage in surface coal mining and reclamation operations or underground only operations shall file a complete and accurate application for a permanent program permit that shall comply fully with applicable requirements of KRS Chapter 350 and 405 KAR Chapters 7 through 24, and shall not begin the operation until the permit has been granted.

(b) Renewal of valid permanent program permits. An application for renewal of a permit pursuant to Section 21 of this administrative regulation shall be filed with the cabinet at least 120 days before the expiration of the permit.

(c) Revision of permanent program permits. A permittee may apply for a revision of a permit, but shall not vary from the requirements of the permit until the revision has been approved by the cabinet. The term of a permit shall remain unchanged by a revision.

(d) Succession to rights granted pursuant to prior permanent program permits.

1. An application for the transfer, sale, or assignment of rights granted pursuant to a permit may be submitted.

1           2. The actual transfer, sale, or assignment of permit rights shall not take place until written  
2 permission has been granted by the cabinet pursuant to 405 KAR Chapters 7 through 24.

3           (e) Amendment of permanent program permits. A permittee may apply for an amendment  
4 to a permit pursuant to Section 23 of this administrative regulation, but shall not begin surface coal  
5 mining and reclamation operations on the areas until the amendment has been approved by the  
6 cabinet. The term of a permit shall remain unchanged by an amendment.

7           (3) Compliance with permits. A person engaging in surface coal mining and reclamation  
8 operations pursuant to a permit issued pursuant to KRS Chapter 350 shall comply with the terms  
9 and conditions of the permit, including the plans and other documents submitted as part of the  
10 application and approved by the cabinet and the applicable requirements of KRS Chapter 350 and  
11 405 KAR Chapters 7 through 24.

12           Section 3. Coordination of Review of Permit Applications. (1) For the purposes of avoiding  
13 duplication, the cabinet shall coordinate the review and issuance of permits for surface coal mining  
14 and reclamation operations with:

15           (a) Any other federal or Kentucky permit process applicable to the proposed operations, as  
16 required by Section 503 of SMCRA, 30 U.S.C. 1201 - 1328 and 30 C.F.R. 700 - 955; and

17           (b) Applicable requirements of the Endangered Species Act of 1973, 16 U.S.C. 1531-1544;  
18 the Fish and Wildlife Coordination Act of 1934, 16 U.S.C. 661-667d; the Migratory Bird Treaty  
19 Act of 1918, 16 U.S.C. 703-712; the National Historic Preservation Act of 1966, (54 U.S.C.  
20 300101 – 307108; and the Bald Eagle Protection Act of 1940, 16 U.S.C. 668-668d, as required by  
21 30 C.F.R. 773.12.

22           (2) This coordination shall be accomplished by providing the appropriate agencies with an  
23 opportunity to comment on permit applications as established in Section 8(6) and (7) of this

administrative regulation and, if necessary, by any other measures the cabinet and interested parties agree are appropriate.

Section 4. Preliminary Requirements. (1) A person desiring a permit may submit to the cabinet a Preliminary Application, MPA-00.

(2) If the permittee chooses to submit a Preliminary Application, the Preliminary Application shall contain pertinent information, including a map at a scale of one (1) inch equals 400 or 500 feet, marked to show the proposed permit area, shadow area, and adjacent areas; and the areas of land to be affected, including, for example, locations of the coal seam or seams to be mined, access roads, haul roads, spoil or coal waste disposal areas, and sedimentation ponds.

(a) Areas delineated on the map shall be physically marked at the site; and

(b) Pursuant to KRS Chapter 350 and 405 KAR Chapters 7 – 24, personnel of the cabinet shall conduct, within fifteen (15) working days after the filing of the Preliminary Application, an on-site investigation of the area with the person or his or her representatives and representatives of appropriate local, state, or federal agencies, after which the person may submit a permit application.

Section 5. General Format and Content of Applications. (1)(a) Applications for permits to conduct surface coal mining and reclamation operations shall be filed in the number, form, and content required by the cabinet, in accordance with KRS 350.060(5) and (6), including a copy to be filed for public inspection pursuant to Section 8(8) of this administrative regulation.

(b) The application and copies shall be prepared, assembled, and submitted with attachments, plans, maps, certifications, drawings, calculations, or other documentation necessary for the cabinet to review the proposed surface coal mining and reclamation operations.

(c) The following forms shall be submitted by an applicant:

1. Permittee Information for a Mining Permit, MPA-01;
2. Operator Information for a Mining Permit, MPA-02;
3. Technical Information for Mining Permit, MPA-03;
4. Surface Owner's Affidavit: Lands Historically Used for Cropland, MPA-03-20.1.B.;
5. Disinterested Third Party Affidavit: Lands Historically Used for Cropland, MPA-03.20.1.C.;
6. Update of Permittee or Operator Information, MPA-05;
7. Change of Corporate Owners, Officers or Directors, MPA-06;
8. Application to Transfer a Mining Permit, MPA-07;
9. Revision Application to Change Operator, MPA-08;
10. Application for Renewal of a Mining Permit, MPA-09;
11. Application for a Coal Marketing Deferment, MPA-10; and
12. Minor Field Revision Application Form, SME 80.

(d) The application shall be complete with respect to all information required by 405 KAR Chapters 7 - 24 [~~KAR Title 405~~] and include, at a minimum for:

1. Surface mining activities, all the applicable information required pursuant to 405 KAR 8:030;
2. Underground mining activities, all the information required pursuant to 405 KAR 8:040; and
3. Special types of surface coal mining and reclamation operations, all the information required pursuant to 405 KAR 8:050.

(e) An application shall not be determined to be administratively complete unless all design plans for the permit area are in detailed form.

(2) Information established in the application shall be current, presented clearly and concisely, and supported by appropriate references to technical and other written material available to the cabinet.

(3) The collection and analysis of technical data submitted in the application shall be planned by or conducted under the direction of a professional qualified in the subject to be analyzed and shall be accompanied by:

(a) Names of persons or organizations that collected and analyzed the data;

(b) Dates of the collection and analyses; and

(c) Descriptions of methodology used to collect and analyze the data.

(4) The application shall state the name, address, and position of officials of each private or academic research organization or governmental agency that provided information that has been made a part of the application regarding land uses; soils; geology; vegetation; fish and wildlife; water quantity and quality; air quality; and archaeological, cultural, and historic features.

(5)(a) The applicant shall designate in the permit application either the applicant or some other person to serve as agent for service of notices and orders.

1. The designation shall identify the person by full name and complete mailing address, and if a natural person, the person's Social Security number.

2. The person shall continue as agent for service of process until a written revision of the permit has been made to designate another person as agent.

(b) The applicant may authorize a person to submit application modifications to the cabinet. If the designation has not been made in the application, or in separate correspondence, the cabinet shall accept modifications only from the applicant.

(6) General requirements for maps and plans.

(a) If information marked on the preliminary map required pursuant to Section 4 of this administrative regulation has changed, the application shall contain an updated USGS seven and one-half (7 1/2) minute topographic map marked as required in Section 4 of this administrative regulation.

(b)1. Maps submitted with applications shall be presented in a consolidated format, to the extent possible, and shall include the types of information established on topographic maps of the U.S. Geological Survey of the 1:24,000 scale series.

2. Maps of the permit area, shadow area, and adjacent areas shall be at a scale of 400 or 500 feet to the inch, inclusive; and the scale shall be clearly shown on the map.

3. A map of scale larger than 400 feet to the inch shall be provided by the applicant if the larger scaled map is needed to adequately show mine site details.

4. The map required by 405 KAR 8:030, Section 23(1)(a) or 405 KAR 8:040, Section 23(1)(a), regarding additional areas on which permits will be sought, shall be a USGS seven and one-half (7 1/2) minute (1:24,000) topographic map.

(c) If a map or drawing is required to be certified by a qualified professional engineer, as defined by KRS 322.010(3), the map or drawing shall bear the seal and signature of the engineer as required by KRS 322.340, and shall be certified in accordance with 405 KAR 7:040, Section 10.

(d) All engineering design plans submitted with an application shall be prepared by or under the direction of a qualified professional engineer and shall bear the engineer's seal, signature, and certification as required by KRS 322.340 and 405 KAR 7:040, Section 10.

(e) Maps and plans submitted with the application shall clearly identify all previously mined areas as defined at 405 KAR 16:190, Section 7(2)(c) or 405 KAR 18:190, Section 5(2)(c).

1 (7) Referenced materials. If used in the application, referenced materials shall either be  
2 provided to the cabinet by the applicant or be readily available to the cabinet. If provided, relevant  
3 portions of referenced published materials shall be presented briefly and concisely in the  
4 application by photocopying or abstracting and with explicit citations.

5 Section 6. Application and Acreage Fees. (1) Each application for a surface coal mining  
6 and reclamation permit shall be accompanied by the fees established in this administrative  
7 regulation. The fee may be less than, but shall not exceed the actual or anticipated cost of  
8 reviewing, administering, and enforcing the permit.

9 (2) An applicant shall submit an application fee of \$2,500 for an original application or  
10 \$1,750 for an amendment.

11 (3) An applicant shall also submit an additional seventy-five (75) dollars for each acre or  
12 fraction thereof of the area of land to be affected by the operation.

13 (a) If the cabinet approves an incremental bonding plan submitted by the applicant, the  
14 acre-age fees may be paid individually as the bond for each increment is submitted.

15 (b) An acreage fee shall not be required for surface areas overlying underground or auger  
16 workings that will not be affected by surface operations and facilities.

17 (4) The fee shall accompany the application in the form of a cashier's check or money order  
18 payable to the Kentucky State Treasurer. A permit application shall not be processed unless the  
19 application fee has been paid.

20 Section 7. Verification of Application. Applications for permits; revisions; amendments;  
21 renewals; or transfers, sales, or assignments of permit rights shall be verified under oath, before a  
22 notary public, by the applicant or the applicant's authorized representative, that the information  
23 contained in the application is true and correct to the best of the official's information and belief.



Section 8. Public Notice of Filing of Permit Applications. (1) An applicant for a permit, major revision, amendment, or renewal of a permit shall place an advertisement in the newspaper of largest bona fide circulation as established in KRS 424.110 to 424.120, in the county where the proposed surface coal mining and reclamation operations are to be located.

(2)(a) The first advertisement shall be published on or after the date the:

1. Application is submitted to the cabinet; or
2. Applicant receives the notification from the cabinet pursuant to Section 13(2) of this administrative regulation that the application has been deemed administratively complete and ready for technical review.

(b) The advertisement shall be published at least once each week for four (4) consecutive weeks, with the final consecutive weekly advertisement being published after the applicant's receipt of written notice from the cabinet that the application has been deemed administratively complete and ready for technical review.

(c) The final consecutive weekly advertisement shall clearly state that it is the final advertisement and that written objections to the application shall be submitted to the cabinet until thirty (30) days after the date of the final advertisement.

(3) Within fifteen (15) days of the final date of publication of the advertisement, the applicant shall submit to the cabinet proof of publication of the required final four (4) consecutive weekly notices, in accordance with this section that shall consist of an affidavit from the publishing news-paper certifying the dates, place, and content of the advertisements.

(4) The advertisement shall be entitled "Notice of Intention to Mine" and shall be as established in subsection (5) of this section.

(5) The advertisement shall contain, at a minimum:

1 (a) The name and business address of the applicant;

2 (b) A map or description that shall:

3 1. Clearly show or describe towns, rivers, streams, and other bodies of water, local  
4 landmarks, and any other information, including routes, streets, or roads and accurate distance  
5 measurements, necessary to allow local residents to readily identify the proposed permit area;

6 2. Clearly show or describe the exact location and boundaries of the proposed permit area;

7 3. State the name of the U.S. Geological Survey 7.5 minute quadrangle map that contains  
8 the area shown or described; and

9 4. Show the north arrow and map scale, if a map is used;

10 (c) The location where a copy of the application shall be available for public inspection  
11 pursuant to subsection (8) of this section;

12 (d) The name and address of the cabinet to which written comments, objections, or requests  
13 for permit conferences on the application may be submitted pursuant to Sections 9, 10, and 11 of  
14 this administrative regulation;

15 (e) If an applicant seeks a permit to mine within 100 feet of the outside right-of-way of a  
16 public road or to relocate or close a public road; except if public notice and hearing have been  
17 previously provided for this particular part of road in accordance with 405 KAR 24:040, Section  
18 2(6); a concise statement describing the public road, the particular part to be relocated or closed,  
19 and the approximate timing and duration of the relocation or closing;

20 (f) A statement, if the application includes a request for an experimental practice pursuant  
21 to 405 KAR 7:060, indicating that an experimental practice is requested that identifies the  
22 regulatory requirement for which a variance is requested; and

23 (g) The application number.

1 (6) Within five (5) working days after the application for a permit, major revision,  
2 amendment, or renewal of a permit has been determined to be administratively complete, the  
3 cabinet shall issue written notification of:

4 (a) The applicant's intention to conduct surface coal mining and reclamation operations on  
5 a particularly described tract of land;

6 (b) The application number;

7 (c) Where a copy of the application may be inspected; and

8 (d) Where comments on the application may be submitted pursuant to Section 9 of this  
9 administrative regulation.

10 (7) The written notifications required by subsection (6) of this section shall be sent to:

11 (a) Local government agencies with jurisdiction over or an interest in the area of the  
12 proposed operations, including:

13 1. Planning agencies;

14 2. Sewage or water treatment authorities; and

15 3. Water companies, either providing sewage or water services to users in the area of the  
16 proposed operations or having water sources or collection, treatment, or distribution facilities  
17 located in these areas;

18 (b) All federal and Kentucky governmental agencies that have the authority to issue permits  
19 and licenses applicable to the proposed surface coal mining and reclamation operation and that are  
20 a part of the permit coordination process required by Section 3 of this administrative regulation;  
21 and

22 (c) Those agencies with an interest in the particular proposed operation including the:

23 1. USDA Soil Conservation Service State Conservationist;

1           2. Local U.S. Army Corps of Engineers district engineer;

2           3. National Park Service;

3           4. U.S. Department of Fish and Wildlife and Kentucky Department of Fish and Wildlife  
4 Resources; and

5           5. State historic preservation officer.

6           (8) In accordance with Section 12 of this administrative regulation, the cabinet shall, upon  
7 receipt of the application:

8           (a) Make the application available for public inspection and copying during all normal  
9 working hours at the appropriate regional office of the cabinet where the mining has been  
10 proposed; and

11           (b) Provide reasonable assistance to the public in the inspection and copying of the  
12 application.

13           Section 9. Submission of Comments or Objections by Public Agencies. (1) Written  
14 comments or objections on applications for permits, major revisions, amendments, and renewals  
15 of permits may be submitted to the cabinet by the public agencies to whom notification has been  
16 provided pursuant to Section 8(6) and (7) of this administrative regulation with respect to the  
17 effects of the proposed mining operations on the environment within the public agency's area of  
18 responsibility.

19           (2) These comments or objections shall be submitted to the cabinet within thirty (30)  
20 calendar days after the date of the written notification by the cabinet pursuant to Section 8(6) and  
21 (7) of this administrative regulation.

1 (3) The cabinet shall immediately file a copy of all comments or objections at the  
2 appropriate regional office of the cabinet for public inspection pursuant to Section 8(8) of this  
3 administrative regulation. A copy shall also be transmitted to the applicant.

4 Section 10. Right to File Written Objections. (1) Any person whose interests are or may be  
5 adversely affected or an officer or head of any federal, state, or local government agency or  
6 authority to be notified pursuant to Section 8 of this administrative regulation shall have the right  
7 to file written objections to an application for a permit, major revision, amendment, or renewal of  
8 a permit with the cabinet, within thirty (30) days after the last publication of the newspaper notice  
9 required by Section 8(1) of this administrative regulation.

10 (2) The cabinet shall, immediately upon receipt of any written objections:

11 (a) Transmit a copy of the objections to the applicant; and

12 (b) File a copy at the appropriate regional office of the cabinet for public inspection  
13 pursuant to Section 8(8) of this administrative regulation.

14 Section 11. Permit Conferences. (1) Procedure for requests. Any person whose interests  
15 are or may be adversely affected by the decision on the application, or the officer or head of any  
16 federal, state, or local government agency or authority to be notified pursuant to Section 8 of this  
17 administrative regulation may, in writing, request that the cabinet hold an informal conference on  
18 any application for a permit, major revision, amendment, or renewal of a permit. The request shall:

19 (a) Briefly summarize the issues to be raised by the person requesting at the conference;

20 (b) State if the person requesting desires to have the conference conducted in the locality  
21 of the proposed mining operations; and

1 (c) Be filed with the cabinet not later than thirty (30) days after the last publication of the  
2 newspaper advertisement placed by the applicant pursuant to Section 8(1) of this administrative  
3 regulation.

4 (2) If a permit conference has been requested in accordance with subsection (1) of this  
5 section, then the cabinet shall hold a conference within twenty (20) working days after the last date  
6 to request a conference under subsection (1)(c) of this section.

7 (3) The conference shall be conducted according to the following:

8 (a) If requested pursuant to subsection (1)(b) of this section, the conference shall be held  
9 in the locality of the proposed mining;

10 (b) The date, time, and location of the conference shall be sent to the applicant and parties  
11 requesting the conference and advertised once by the cabinet in the newspaper of largest bona fide  
12 circulation, pursuant to KRS 424.110 to 424.120, in the county where the proposed surface coal  
13 mining and reclamation operations are to be located, at least two (2) weeks prior to the scheduled  
14 conference; and

15 (c) If requested, in writing, by a person requesting the conference in a reasonable time prior  
16 to the conference, the cabinet shall arrange with the applicant to grant parties to the conference  
17 access to the permit area and, to the extent that the applicant has the right to grant access, to the  
18 adjacent areas prior to the established date of the conference for the purpose of gathering  
19 information relevant to the conference[; ~~and~~

20 ~~(d) The requirements of 405 KAR 1:090 and 1:110 shall not apply to the conduct of the~~  
21 ~~conference].~~

22 1. The conference shall be conducted by a representative of the cabinet, who shall accept  
23 oral or written statements and any other relevant information from any party to the conference.

2. An electronic or stenographic record shall be made of the conference proceedings, unless waived by all the parties.

3. The record shall be maintained and accessible to the parties of the conference until final release of the applicant's performance bond or other equivalent guarantee pursuant to 405 KAR Chapter 10.

(4) If all parties requesting the conference stipulate agreement before the requested conference and withdraw their requests, the conference shall not be held.

(5) Permit conferences held in accordance with this section may be used by the cabinet as the public hearing required pursuant to 405 KAR 24:040, Section 2(6) on proposed relocation and closure of public roads.

Section 12. Public Availability of Information in Permit Applications on File with the Cabinet. (1) General availability.

(a) The cabinet shall make an application for a permit, revision, amendment, or renewal of a permit or an application for transfer, assignment, or sale of permit rights available for the public to inspect and copy by placing a full copy of the application at the regional office for the area in which mining shall occur.

1. The application shall be made available by the cabinet for public inspection and copying, at reasonable times, in accordance with Kentucky open records statutes, KRS 61.870 to 61.884.

2. This copy need not include confidential information exempt from disclosure pursuant to subsection (3) of this section.

(b) The application required by paragraph (a) of this subsection shall be placed at the appropriate regional office no later than the first date of newspaper advertisement of the application.

1 (c) The applicant shall be responsible for placing all changes in the copy of the application  
2 retained at the regional office upon the changes being submitted to the Division of Mine Permits.

3 (2) Information pertaining to coal seams, test borings, core samples, and soil samples in  
4 applications shall be made available for inspection and copying to any person with an interest that  
5 is or may be adversely affected.

6 (3) Confidentiality.

7 (a) The cabinet shall provide for procedures to ensure the confidentiality of qualified  
8 confidential information.

9 (b) Confidential information shall be clearly identified by the applicant and submitted  
10 separately from the remainder of the application.

11 (c) If a dispute arises concerning the disclosure or nondisclosure of confidential  
12 information, the cabinet shall provide notice and convene a hearing in accordance with 400 KAR  
13 1:110, Section 9.

14 (d) Confidential information shall be limited to:

15 1. That pertains only to the analysis of the chemical and physical properties of the coal to  
16 be mined, except information on components of the coal that are potentially toxic in the  
17 environment; and

18 2. On the nature and location of archaeological resources on public land and Indian land as  
19 required pursuant to the Archaeological Resources Protection Act of 1979, 16 U.S.C. 470aa - mm.

20 Section 13. Department Review of Applications for Permits, Revisions, Amendments, and  
21 Renewals. (1) General.

22 (a) The cabinet shall review the application for a permit, revision, amendment, or renewal;  
23 written comments and objections submitted; and records of any permit conference held on the



1 application and make a written decision, within the time frames listed in Section 16(1) of this  
2 administrative regulation, concerning approval of, requiring modification of, or concerning  
3 rejection of the application.

4 (b) An applicant for a permit, revision, or amendment shall have the burden of establishing  
5 that the application is in compliance with all requirements of KRS Chapter 350 and 405 KAR  
6 Chapters 7 through 24.

7 (2)(a) Administrative completeness determination.

8 1. Within ten (10) working days of initial receipt of the application the cabinet shall provide  
9 written notification to the applicant as to the administrative completeness of the application.

10 2. If the application is incomplete, the cabinet shall notify the applicant within ten (10)  
11 working days after initial receipt of the application by certified mail, return receipt requested, or  
12 by registered mail, of the deficiencies that render the application incomplete.

13 3. The applicant shall submit supplemental information to correct the identified  
14 deficiencies for a period of ten (10) working days after the applicant's receipt of the initial notice  
15 of incompleteness.

16 4. If, after ten (10) working days, the application is still incomplete, the cabinet shall return  
17 the incomplete application to the applicant with written notification of the reasons for the  
18 determination.

19 (b)1. An application shall not be deemed administratively complete if one (1) or more  
20 major elements are found to be absent from the application, which, by virtue of their absence,  
21 would require that the permit be denied.

1           2. A determination that an application is administratively complete shall not mean that the  
2 application is complete in every detail, nor shall it mean that any aspect of the application is  
3 technically sufficient or approvable.

4           (3) Processing of the administratively complete application. Within the time periods  
5 established in Section 16 of this administrative regulation, the cabinet shall either notify the  
6 applicant:

7           (a) Of the cabinet's decision to issue or deny the application; or

8           (b) 1. In writing, by certified mail, return receipt requested, or by registered mail, promptly  
9 upon discovery of deficiencies in the application and allow the application to be temporarily  
10 withdrawn for the purpose of correcting the deficiencies.

11           2. Temporary withdrawal periods shall not be counted against the time available to the  
12 cabinet for consideration of the application.

13           (4) Review of violations.

14           (a) The cabinet shall not issue a permit if any surface coal mining reclamation operation  
15 owned or controlled by either the applicant or by any person who owns or controls the applicant  
16 is currently in violation of SMCRA, 30 U.S.C. 1201 - 1328 and 30 C.F.R. 700 - 955, KRS Chapter  
17 350 and 405 KAR Chapters 7 - 24, any other state's laws or administrative regulations pursuant to  
18 SMCRA, or any other law, rule, or administrative regulation referred to in this subsection. The  
19 denial of the permit shall be based on available information concerning:

20           1. Failure-to-abate cessation orders issued by OSM, Kentucky, or any other state;

21           2. Unabated imminent harm cessation orders issued by OSM, Kentucky, or any other state;

1           3. Delinquent civil penalties assessed pursuant to SMCRA, federal regulations enacted  
2 pursuant to SMCRA, KRS Chapter 350 and 405 KAR Chapters 7 - 24, or any other state's laws or  
3 administrative regulations pursuant to SMCRA;

4           4. Bond forfeitures by OSM, Kentucky, or any other state in which violations upon which  
5 the forfeitures were based have not been corrected;

6           5. Delinquent abandoned mine reclamation fees; and

7           6. Unabated violations of federal, Kentucky, and any other state's laws, rules and  
8 administrative regulations pertaining to air or water environmental protection incurred in  
9 connection with any surface coal mining operation.

10           (b) In the absence of a failure-to-abate cessation order, the cabinet may presume that a  
11 notice of violation issued by OSM, Kentucky, or any other state pursuant to its laws and  
12 administrative regulations pursuant to SMCRA has been or is being corrected to the satisfaction  
13 of the agency with jurisdiction over the violation, except if evidence to the contrary is established  
14 in the permit application, or if the violation is for nonpayment of abandoned mine reclamation fees  
15 or civil penalties.

16           (c) If a current violation exists, the cabinet shall require the applicant or person who owns  
17 or controls the applicant, before issuance of the permit, to either:

18           1. Submit to the cabinet proof that the current violation has been or is in the process of  
19 being corrected to the satisfaction of the agency that has jurisdiction over the violation; or

20           2. Establish for the cabinet that the applicant, or any person owned or controlled by either  
21 the applicant or any person who owns or controls the applicant, has filed and is presently pursuing,  
22 in good faith, a direct administrative or judicial appeal to contest the validity of the current  
23 violation. If the initial judicial review authority affirms the violation, then the applicant shall within

thirty (30) days of the judicial action submit proof required pursuant to subparagraph (1) of this paragraph.

(d) Any permit that is issued on the basis of proof submitted pursuant to paragraph (a)1. of this subsection that a violation is in the process of being corrected, or pending the outcome of an appeal established in paragraph (a)2 of this subsection, shall be conditionally issued.

(e)1. If the cabinet makes a finding that the applicant, anyone who owns or controls the applicant, or the operator established in the application, controls or has controlled surface coal mining and reclamation operations with a demonstrated pattern of willful violations of KRS Chapter 350 and 405 KAR Chapters 7 - 24 of a nature and duration, and with resulting irreparable damage to the environment as to indicate an intent not to comply with those laws or administrative regulations, a permit shall not be issued.

2. Before a finding becomes final, the applicant or operator shall be afforded an opportunity for an adjudicatory hearing on the determination as provided for in 400 KAR 1:110, Section 8.

(5) Final compliance review. After an application is approved, but before the permit is issued, the cabinet shall reconsider its decision to approve the application, based on the compliance review required by subsection (4)(a) of this section in light of any new information submitted under 405 KAR 8:030, Sections 2(11) and 3(4), or 405 KAR 8:040, Sections 2(11) and 3(4).

Section 14. Criteria for Application Approval or Denial. An application for a permit, revision (as applicable), or amendment of a permit shall not be approved unless the application affirmatively demonstrates and the cabinet finds, in writing, on the basis of information established in the application or from information otherwise available, which has been documented in the approval, that:

1 (1) The permit application is complete and accurate and in compliance with all  
2 requirements of KRS Chapter 350 and 405 KAR Chapters 7 through 24;

3 (2) The applicant has demonstrated that surface coal mining and reclamation operations,  
4 as required by KRS Chapter 350 and 405 KAR Chapters 7 through 24 can be feasibly accomplished  
5 in accordance with the mining and reclamation plan contained in the application;

6 (3) The assessment of the probable cumulative impacts of all anticipated coal mining in the  
7 cumulative impact area on the hydrologic balance has been made by the cabinet and the operations  
8 proposed pursuant to the application have been designed to prevent material damage to the  
9 hydrologic balance outside the proposed permit area and shadow area;

10 (4) The proposed permit area is:

11 (a) Not included within an area designated unsuitable for surface coal mining operations  
12 pursuant to 405 KAR 24:030;

13 (b) Not within an area under study for designation as unsuitable for surface coal mining  
14 operations in an administrative proceeding begun under 405 KAR 24:030, unless the applicant  
15 demonstrates that, before January 4, 1977, he or she made substantial legal and financial  
16 commitments in relation to the operation for which he or she is applying for a permit;

17 (c) Not on any lands subject to the prohibitions or limitations of 405 KAR 24:040, Section  
18 2(1), (2), or (3);

19 (d) Not within 100 feet of the outside right-of-way line of any public road, except as  
20 provided for in 405 KAR 24:040, Section 2(6); and

21 (e) Not within 300 feet from any occupied dwelling, except as established in 405 KAR  
22 24:040, Section 2(5);

1 (5)(a) The proposed operations will not adversely affect any publicly-owned parks or any  
2 places included on the National Register of Historic Places, except as established in 405 KAR  
3 24:040, Section 2(4); and

4 (b) The cabinet has taken into account the effect of the proposed operations on properties  
5 listed and eligible for listing on the National Register of Historic Places. This finding may be  
6 supported in part by inclusion of appropriate permit conditions or changes in the mining and  
7 reclamation plan to protect historic resources, or a documented decision that additional protection  
8 measures are not necessary;

9 (6) For operations involving the surface mining of coal in which the private mineral estate  
10 to be mined has been severed from the private surface estate, the applicant has submitted to the  
11 cabinet the documentation required pursuant to 405 KAR 8:030, Section 4(2) or 405 KAR 8:040,  
12 Section 4(2);

13 (7) With regard to current violations, the applicant has either:

14 (a) Submitted the proof required by Section 13(4)(a) of this administrative regulation; or

15 (b) Made the demonstration required by Section 13(4)(b) of this administrative regulation;

16 (8) The applicant has paid all reclamation fees from previous and existing operations as  
17 required by 30 C.F.R. 870, or has entered into a payment schedule approved by OSM. If the  
18 applicant has entered into a payment schedule approved by OSM, a permit may be issued only if  
19 it includes a condition that the permittee comply with the approved payment schedule;

20 (9) The applicant or the operator, if other than the applicant, does not control and has not  
21 controlled mining operations with a demonstrated pattern of willful violations of SMCRA or KRS  
22 Chapter 350 of a nature and duration and with resulting irreparable damage to the environment to  
23 indicate an intent not to comply with SMCRA or KRS Chapter 350;

(10) The applicant has demonstrated that any existing structure will comply with 405 KAR 8:030, Section 25 and 405 KAR 8:040, Section 25, and the applicable performance standards of KAR 405 KAR Chapters 16 and 18;

(11) The applicant has, if applicable, satisfied the requirements established in 405 KAR 16:210 and 405 KAR 18:220 for approval of a long-term, intensive agricultural postmining land use;

(12) The applicant may reasonably be expected to submit the performance bond or other equivalent guarantee required pursuant to 405 KAR Chapter 10 prior to the issuance of the permit;

(13) The applicant has, with respect to prime farmland obtained either a negative determination or satisfied the requirements of 405 KAR 8:050, Section 3;

(14) The applicant has satisfied the applicable requirements of 405 KAR 8:050 regarding special categories of mining;

(15) The cabinet has made all specific approvals required pursuant to 405 KAR Chapters 16 through 20;

(16) The cabinet has found that the activities would not affect the continued existence of endangered or threatened species or result in the destruction or adverse modification of their critical habitats as determined pursuant to the Endangered Species Act of 1973 (16 U.S.C. 1531-1544);

(17) The applicant has not forfeited any bond pursuant to KRS Chapter 350. If the applicant has forfeited a bond, the permit may be issued if the land for which the bond was forfeited has been satisfactorily reclaimed without cost to the state or the operator or person has paid a sum that the cabinet finds is adequate to reclaim the land;

(18) The applicant has not had a permit revoked, suspended, or terminated pursuant to KRS Chapter 350. If the applicant has had a permit revoked, suspended, or terminated, another permit may be issued, or a suspended permit may be reinstated, only if the applicant has complied with all of the requirements of KRS Chapter 350 or submitted proof that the violation has been corrected or is in the process of being corrected, in respect to all permits issued to him or her;

(19) The operation will not constitute a hazard to or do physical damage to a dwelling house, public building, school, church, cemetery, commercial or institutional building, public road, stream, lake, or other public property;

(20) The surface coal mining operation will not adversely affect a wild river established pursuant to KRS Chapter 146 or a state park unless adequate screening and other measures have been incorporated into the permit application and the surface coal mining operation has been jointly approved by all affected agencies as established in 405 KAR 24:040; or

(21) For a proposed remining operation that the applicant intends to reclaim in accordance with the requirements of 405 KAR 16:190, Section 7, or 405 KAR 18:190, Section 5, the applicant has demonstrated that the site of the operation will be a previously mined area as defined in those sections.

Section 15. Criteria for Application Approval or Denial Regarding Existing Structures. An application for a permit, revision, or amendment that proposes to use an existing structure in connection with or to facilitate the proposed surface coal mining and reclamation operation shall not be approved, unless the applicant demonstrates and the cabinet finds, in writing, on the basis of information established in the complete and accurate application, that the provisions of 405 KAR 7:040, Section 4, have been met.



Section 16. Application Approval or Denial Actions. (1) The cabinet shall take action on applications within the following time periods as appropriate:

(a)1. Except as established in paragraph (b) of this subsection, for a complete and accurate application submitted pursuant to Section 2(2)(a), (b), (d), and (e) of this administrative regulation, a decision shall be made by the cabinet to approve, require modification of, or deny the application within sixty-five (65) working days after the notice of administrative completeness pursuant to Section 13(2) of this administrative regulation. Periods of temporary withdrawal pursuant to Section 13(3)(b) of this administrative regulation shall not be counted against the sixty-five (65) working-day period available to the cabinet.

2. Except as established in paragraph (b) of this subsection, for a complete and accurate application submitted pursuant to Section 2(2)(c) of this administrative regulation of a major revision as established in Section 20 of this administrative regulation, a decision shall be made by the cabinet to approve, require modification of, or deny the application within forty-five (45) working days after the notice of administrative completeness pursuant to Section 13(2) of this administrative regulation. Periods of temporary withdrawal pursuant to Section 13(3)(b) of this administrative regulation shall not be counted against the forty-five (45) working-day period available to the cabinet.

3. For a complete and accurate application for a minor revision as established in Section 20 of this administrative regulation, a decision shall be made by the cabinet to approve, require modification of, or deny the application.

a. The timeframes for review shall be:

(i) Fifteen (15) working days after the notice of administrative completeness pursuant to Section 13(2) of this administrative regulation; and

1 (ii) Thirty (30) working days after the notice of administrative completeness pursuant to  
2 Section 13(2) of this administrative regulation for minor revisions that require full cost bonding  
3 calculations.

4 b. Periods of temporary withdrawal pursuant to Section 13(3)(b) of this administrative  
5 regulation shall not be counted against the fifteen (15) or thirty (30) working day period available  
6 to the department; and

7 (b) If the notice, hearing, and conference procedures mandated by KRS Chapter 350 and  
8 KAR Title 405 prevent a decision from being made within the time periods established in  
9 paragraph (a) of this subsection, the cabinet shall have additional time to issue its decision, but not  
10 to exceed twenty (20) days from the completion of the notice, hearing, and conference procedures.

11 (2) The cabinet shall issue written notification of the decision to approve, modify, or deny  
12 the application, in whole or part, to the following persons and entities:

13 (a) The applicant;

14 (b) Each person who files comments or objections to the permit application;

15 (c) Each party to an informal permit conference, if held;

16 (d) The county judge-executive of the county and the chief executive officer of any  
17 municipality in which the permit area lies. This notice shall be sent within ten (10) days after the  
18 issuance of the permit and shall include a description of the location of the permit area; and

19 (e) The regional office manager of the Division of Mine Reclamation and Enforcement.

20 (3) If the application has been denied, the notification required in subsection (2) of this  
21 section, for the applicant, any person filing objections to the permit and parties to an informal  
22 conference, shall include specific reasons for the denial.

(4) If the cabinet approves the application, the cabinet shall require that the applicant file the performance bond before the permit is issued, in accordance with 405 KAR Chapter 10.

(5) The cabinet shall publish a summary of the decision in the newspaper of largest bona fide circulation, according to KRS 424.110 to 424.120, in the county where the proposed surface coal mining and reclamation operations are to be located.

Section 17. Term of Permit. (1) Each permit shall be issued for a fixed term not to exceed five (5) years. A longer fixed permit term may be granted, pursuant to KRS 350.060(1)(a), only if:

(a) The application is complete and accurate for the specified longer term; and

(b) The applicant shows that a specified longer term is reasonably needed to allow the applicant to obtain necessary financing for equipment and for the opening of the operation with the need confirmed, in writing, by the applicant's proposed source for the financing.

(2)(a) A permit shall terminate, if the permittee has not begun the surface coal mining and reclamation operation covered by the permit within three (3) years of the issuance of the permit.

(b) The cabinet may grant reasonable extensions pursuant to KRS 350.060(16) of the time for commencement of these operations, upon receipt of a written statement showing that the extensions of time are necessary, if:

1. Litigation precludes the commencement or threatens substantial economic loss to the permittee; or

2. There are conditions beyond the control and without the fault or negligence of the permittee.

(c) With respect to coal to be mined for use in a synthetic fuel facility or specified major electric generating facility, the permittee shall have commenced surface mining operations if construction of the synthetic fuel or generating facility is initiated.

1 (d) Extensions of time granted by the cabinet pursuant to this subsection shall be  
2 specifically established in the permit, and notice of the extension shall be made to the public.

3 (3) Permits may be suspended, revoked, or modified by the cabinet, in accordance with  
4 Section 19 of this administrative regulation; 405 KAR 7:060, Section 3; 405 KAR 8:050, Sections  
5 4, 6, and 7; and 405 KAR Chapter 12.

6 Section 18. Conditions of Permits. Actions by an applicant, permittee, or operator to submit  
7 an application to the cabinet, to accept a permit issued by the cabinet, or to begin operations  
8 pursuant to a permit issued by the cabinet, shall constitute knowledge and acceptance of the  
9 conditions established in this section, which shall be applicable to each permit issued by the cabinet  
10 pursuant to this chapter if the conditions have or have not been established in the permit.

11 (1) General. The general conditions established in paragraphs (a) through (c) of this  
12 subsection shall apply to a permit issued by the cabinet.

13 (a) The permittee shall comply fully with all terms and conditions of the permit and all  
14 applicable performance standards of KRS Chapter 350 and 405 KAR Chapters 7 through 24.

15 (b) The permittee shall conduct all surface coal mining and reclamation operations as  
16 established in the approved application, except to the extent that the cabinet otherwise directs in  
17 the permit that specific actions be taken.

18 (c) The permittee shall conduct surface coal mining and reclamation operations only on  
19 those lands specifically designated as the permit area on the maps submitted pursuant to 405 KAR  
20 8:030 or 405 KAR 8:040 and authorized for the term of the permit, and that are subject to the  
21 performance bond in effect pursuant to 405 KAR Chapter 10.

22 (2) Right of entry.

1 (a) Without advance notice, unreasonable delay, or a search warrant, and upon presentation  
2 of appropriate credentials, the permittee shall allow authorized representatives of the Secretary of  
3 the Interior and the cabinet to:

- 4 1. Have the rights of entry provided for in 405 KAR 12:010, Section 3; and
- 5 2. Be accompanied by private persons for the purpose of conducting a federal inspection if  
6 the inspection is in response to an alleged violation reported to the cabinet by the private person.

7 (b) The permittee shall allow the authorized representatives of the cabinet to be  
8 accompanied by private persons for the purpose of conducting an inspection pursuant to 405 KAR  
9 12:030.

10 (3) Environment, public health, and safety.

11 (a) The permittee shall take all possible steps to minimize any adverse impact to the  
12 environment or public health and safety resulting from failure to comply with any term or condition  
13 of the permit, including:

- 14 1. Accelerated or additional monitoring necessary to determine the nature and extent of  
15 failure to comply and the results of the failure to comply;
- 16 2. Immediate implementation of measures necessary to comply; and
- 17 3. Warning, as soon as possible after learning of the failure to comply, any person whose  
18 health and safety is in imminent danger due to the failure to comply.

19 (b) The permittee shall dispose of solids, sludge, filter backwash, or pollutants removed in  
20 the course of treatment or control of waters or emissions to the air in the manner required by 405  
21 KAR Chapters 16 through 20, and that prevents violation of any other applicable Kentucky or  
22 federal law.

23 (c) The permittee shall conduct its operations:

1           1. In accordance with any measures established in the permit as necessary to prevent  
2 significant, imminent environmental harm that may affect the health or safety of the public; and

3           2. Utilizing any methods established in the permit by the cabinet in approving alternative  
4 methods of compliance with the performance standards of KRS Chapter 350 and 405 KAR  
5 Chapters 16 through 20, in accordance with KRS Chapter 350 and 405 KAR Chapters 16 through  
6 20.

7           (4) Reclamation fees. The permittee shall pay all reclamation fees required by 30 C.F.R.  
8 870 for coal produced pursuant to the permit for sale, transfer, or use, in the manner required by  
9 that subchapter.

10          (5) Within thirty (30) days after a cessation order is issued by OSM for operations  
11 conducted pursuant to the permit or after an order for cessation and immediate compliance is issued  
12 pursuant to 405 KAR 12:020, Section 3, for operations conducted pursuant to the permit, except  
13 if a stay of the order is granted and remains in effect, the permittee shall either notify the cabinet  
14 in writing that there has not been a change since the immediately preceding submittal of the  
15 information or submit to the cabinet the following information, current to the date the order was  
16 issued:

17          (a) Any new information needed to correct or update the information previously submitted  
18 to the cabinet by the permittee pursuant to 405 KAR 8:030, Section 2(3), or 405 KAR 8:040,  
19 Section 2(3); or

20          (b) If not previously submitted, the information required from a permit applicant by 405  
21 KAR 8:030, Section 2(3), or 405 KAR 8:040, Section 2(3).

22          Section 19. Review of Permits. (1)(a) The cabinet shall review each permit issued pursuant  
23 to 405 KAR Chapter 8 during the term of the permit.

1        1. This review shall occur not later than the middle of the permit term and as required by  
2        405 KAR 7:060 and 405 KAR 8:050, Sections 4, 6, and 7.

3        2. Issued permits shall be reevaluated in accordance with the terms of the permit and the  
4        requirements of KRS Chapter 350 and 405 KAR Chapters 7 through 24, including reevaluation of  
5        the bond.

6        (b) For permits of longer than five (5) year terms, a review of the permit shall be no less  
7        frequent than the permit midterm or every five (5) years, whichever is more frequent.

8        (2) The cabinet may, by order, require revision or modification of the permit provisions to  
9        ensure compliance with KRS Chapter 350 and 405 KAR Chapters 7 through 24.

10       (3) Copies of the decision of the cabinet shall be sent to the permittee.

11       (4) Any order of the cabinet requiring revision or modification of permits shall be based  
12       upon written findings and shall be subject to the provisions for administrative and judicial review  
13       of 400 KAR 1:110, Section 8.

14       Section 20. Permit Revisions. (1) General. A revision to a permit shall be obtained:

15       (a) For changes in the surface coal mining and reclamation operations established in the  
16       existing application and approved pursuant to the current permit;

17       (b) If a revision is required by an order issued pursuant to Section 19(4) of this  
18       administrative regulation;

19       (c) In order to continue operation after the cancellation or material reduction of the liability  
20       insurance policy, performance bond, or other equivalent guarantee upon which the original permit  
21       was issued; or

22       (d) As otherwise required pursuant to 405 KAR Chapters 7 through 24.

23       (2) Major revisions.

1 (a) Except as established in subsections (3)(f) and (6) of this section, a revision shall be  
2 deemed a major revision if the proposed change is of a scope and nature that public notice is  
3 necessary to allow participation in the cabinet's decision by persons who have an interest that may  
4 be adversely affected by the proposed change. Major revisions shall include:

- 5 1. A change in the postmining land use;
- 6 2. Enlargement or relocation of impoundments so as to increase the safety hazard  
7 classification of the impoundment;
- 8 3. A variance to approximate original contour requirements;
- 9 4. Construction or relocation of a road, if the construction or relocation could adversely  
10 affect the interests of persons other than the surface owner;
- 11 5. A change that may adversely affect significant fish and wildlife habitats or endangered  
12 species;
- 13 6. A proposed experimental practice;
- 14 7. A change that may cause a major impact on the hydrologic balance;
- 15 8. An incidental boundary revision that affects a new watershed;
- 16 9. An incidental boundary revision that includes a diversion of a perennial stream.

17 (b) A major revision shall be subject to all of the requirements of Sections 5; 7 through 12;  
18 13(1), (2), (3); 14(1) through (6), (8), (10) through (16), (19) through (21); 15; 16; 18; and 24 of  
19 this administrative regulation; and shall be submitted on forms MPA-01 and MPA-03 pursuant to  
20 KRS Chapter 350 and 405 KAR Chapters 7 - 24. In addition to the requirements of Section 8(5)  
21 of this administrative regulation, the advertisement shall contain a statement that the applicant  
22 proposes to revise the existing permit and shall contain a description of the proposed change.

23 (3) Minor revisions.



1 (a) A revision that is not determined by the cabinet under subsection (2) of this section to  
2 be a major revision, or that is not an operator change revision pursuant to subsection (6) of this  
3 section, shall be a minor revision and shall be subject to Sections 5; 7; 12; 13(1), (2), (3); 14(1)  
4 through (6), (10) through (16), (19) through (21); 15; 16(1) through (4); 18; and 24 of this  
5 administrative regulation, except that a minor field revision established in paragraph (d) of this  
6 subsection shall not be subject to the administrative completeness determination of Section 13(2)  
7 of this administrative regulation, and the time frame for review in Section 16(1)(a)3 of this  
8 administrative regulation shall begin at the time of application submittal.

9 (b) If a proposed minor revision is actually a major revision pursuant to Section 13 of this  
10 administrative regulation, the cabinet shall so inform the applicant and return the application.

11 (c)1. The cabinet shall notify, in writing, those persons that could have an interest or may  
12 be adversely affected by the proposed change.

13 2. Those persons shall have the right to file written objections to the revision within ten  
14 (10) days of the date of the notification.

15 (d) A minor field revision shall be reviewed and processed in accordance with this section  
16 by the appropriate regional office of the department, unless the number of persons that potentially  
17 could have an interest or may be adversely affected by the proposed change is large enough that  
18 public notice by newspaper advertisement rather than individual notice by letter from the cabinet  
19 is necessary, the regional administrator shall determine if the proposed minor revision is a major  
20 revision and shall not be processed pursuant to this paragraph. The following proposals shall be a  
21 minor field revision:

22 1. Proposals for minor relocation of underground mine entries if:

1           a. There are no structures or renewable resource lands (pursuant to paragraph (b) of the  
2 definition in 405 KAR 8:001(103) of "renewable resource lands") overlying the area;

3           b. There is no proposed change to the permit boundary; and

4           c. The proposed new location is on the same face-up area and coal seam as originally  
5 permitted, is within the same drainage area as the original location, is controlled by the same  
6 sedimentation pond, and there will be no additional disturbed acreage within the drainage area of  
7 that sedimentation pond;

8           2. A proposal for retention of a concrete platform or a small building if:

9           a. There is no proposed change to the previously approved postmining land use; and

10          b. The application contains a notarized letter from the surface owner requesting retention  
11 of the structure;

12          3.a. A proposal to leave roads as permanent, except proposals involving roads to  
13 impoundments, excess spoil fills, coal mine waste fills, or air shafts; roads within 100 feet of an  
14 intermittent or perennial stream; and roads within areas designated unsuitable for mining pursuant  
15 to 405 KAR 24:040, Section 2, regardless of if a previous waiver or approval has been granted.

16          b. The application shall contain a notarized letter from the surface owner including a  
17 request to retain the road and a statement acknowledging that the surface owner understands that  
18 the operator does not have responsibility for maintenance of the road after the performance bond  
19 has been released pursuant to 405 KAR 10:040 for the area in which the road is located.

20          4. A proposal to increase the diameter of a culvert used as a road crossdrain, not including  
21 a culvert used for a stream crossing, if the proposed culvert is the same type of pipe as the  
22 previously approved culvert;

1           5. A proposal to install an additional culvert used as a road crossdrain (not including a  
2 culvert used for a stream crossing), if the diameter of the proposed additional culvert is equal to  
3 the diameter of the nearest downstream crossdrain and if it is the same type of pipe as the nearest  
4 downstream crossdrain;

5           6. A proposal for a minor relocation of an on-bench sediment control structure (dugouts  
6 only) in order to locate the structure at a low spot on the same bench on which initially proposed,  
7 if:

8           a. The drainage area to the structure shall remain the same as the original design;

9           b. The proposed location shall not cause short-circuiting of the structure; and

10          c. There is no proposed change to the permit boundary;

11          7. A proposal to retain diversions of overland flow (not including stream diversions) as  
12 permanent facilities if:

13          a. The application contains a notarized letter from the surface owner including a request to  
14 retain the diversion and a statement accepting maintenance responsibilities for the diversion; and

15          b. The diversions have previously been designed to the standards for permanent diversions;

16          8. A proposal for relocation of topsoil storage areas if:

17          a. There is no proposed change to the permit boundary; and

18          b. The proposed new location was previously permitted as a disturbed area within the same  
19 drainage area as the original location, is controlled by the same sedimentation pond, and there will  
20 be no additional disturbed acreage within the drainage area of that sedimentation pond;

21          9. A proposal to substitute a plant species if:

22          a. The proposed species is of the same vegetative type (grass, legume, tree, or shrub) as the  
23 original species;

1           b. The proposed species will serve the equivalent function of the original species with  
2   respect to the previously approved revegetation plan, postmining land use plan, and the fish and  
3   wildlife protection and enhancement plan; and

4           c. The proposed species and its application or planting rate are compatible with the  
5   remainder of the previously approved species mixture to be planted;

6           10. A proposal to utilize hydroseeding for trees instead of planting trees or tree seedlings  
7   if:

8           a. Hydroseeding is an appropriate method for the tree species being established; and

9           b. A change in tree species is not involved unless concurrently approved pursuant to  
10   subparagraph 9 of this paragraph;

11          11. A proposal to change the type of mulch to be utilized on the permit area, including a  
12   revised rate of application consistent with the different type of mulch proposed;

13          12. A proposal to retain small depressions in the reclaimed area;

14          13. A proposal required by the cabinet to increase frequency of air blast monitoring;

15          14. A proposal required by the cabinet to increase frequency of air pollution monitoring;

16          15. A proposal to employ more effective fugitive dust controls, and proposals required by  
17   the cabinet to employ additional fugitive dust controls;

18          16. A proposal to add a portable coal crusher if:

19           a. The crusher and associated conveying equipment are a completely portable, trailer-  
20   mounted unit;

21           b. The equipment shall be utilized to crush coal only from the permit area on which it is  
22   proposed to be located;

23           c. The operation shall not generate coal mine waste;

1 d. There is no proposed change to the permit boundary; and

2 e. The equipment shall always be located in the mining pit or other location previously  
3 permitted as a disturbed area controlled by a previously approved sedimentation pond and there  
4 shall be no additional disturbed acreage or delayed reclamation within the drainage area of any of  
5 the sedimentation ponds;

6 17. A proposal to change the time periods, or the types or patterns of warning or all-clear  
7 signals, when explosives are to be detonated;

8 18. A proposal to relocate an explosive storage area within the existing permit area in  
9 accordance with 27 C.F.R. 555.206, 555.218, 555.219, and 555.220, and 30 C.F.R. 77.1301(c);

10 19. Approval for minor relocation of a support facility such as a conveyor, hopper, or a  
11 coal stockpile if:

12 a. There is no proposed change to the permit boundary; and

13 b. The proposed new location was previously permitted as a disturbed area within the same  
14 drainage area as the original location, is controlled by the same sedimentation pond, and there will  
15 be no additional disturbed acreage within the drainage area of that sedimentation pond;

16 20. A proposal for a modification of a shared facility if that modification has already been  
17 approved in a revision for one (1) of the permittees by the Division of Mine Permits and no  
18 additional performance bond was required for the initial revision;

19 21. A proposal to add a hopper to a permitted area if:

20 a. There is no proposed change to the permit boundary; and

21 b. The proposed location was previously permitted as a disturbed area controlled by a  
22 previously approved sedimentation pond and there will be no additional disturbed acreage or  
23 delayed reclamation within the drainage area of that sedimentation pond;

1           22. A proposal to change the brush disposal plan, not including any proposals to bury brush  
2 in the backfill area on steep slopes or in excess spoil fills or coal mine waste fills;

3           23. A proposal to change the basis of judging revegetation from reference areas to the  
4 technical standards established in 405 KAR Chapters 7 - 24;

5           24.a. A proposal for an incidental boundary revision for a minor off-permit disturbance if:

6           (i) The total acreage of the minor off-permit disturbance is no more than one (1) acre  
7 combined per proposal;

8           (ii) The cumulative acreage limitation in subsection (5) of this section is not exceeded;

9           (iii) The area to be permitted does not include any wetlands, prime farmlands, stream buffer  
10 zones, federal lands, habitats of unusually high value for fish or wildlife, an area that may contain  
11 threatened or endangered species, or an area designated as unsuitable for mining pursuant to 405  
12 KAR Chapter 24;

13           (iv) The off-permit disturbance was not a coal extraction area nor shall any future coal  
14 extraction occur on the area;

15           (v) There is no structure such as an excess spoil disposal fill, a coal mine waste disposal  
16 fill or impoundment, or a water impoundment involved;

17           (vi) The surface owner of the area to be permitted is a surface owner of a disturbed area  
18 pursuant to the existing permit; and

19           (vii) An additional performance bond in the amount of \$5,000 has been filed by the  
20 permittee.

21           b. The regional administrator, as established in paragraph (b) of this subsection, may  
22 decline to review and process a proposal to permit an off-permit disturbance as a minor field  
23 revision and instead requires that an application be submitted to the Division of Mine Permits;

1           25. Except as established in clauses a. through e. of this subparagraph, a proposal to remove  
2 a sedimentation pond previously approved as a permanent impoundment if the application contains  
3 a notarized letter from the surface owner requesting the elimination of the impoundment, the  
4 application contains an acceptable plan for removal, and the criteria for sedimentation pond  
5 removal have been met. A proposal to remove a sedimentation pond shall not be processed as a  
6 minor field revision if the:

7           a. As established in 405 KAR 7:040, Section 5, structure has a hazard classification of B  
8 or C;

9           b. Impoundment is a developed water resource land use;

10          c. Removal or activities associated with the removal of the structure may adversely affect  
11 significant fish and wildlife habitats or threatened or endangered species;

12          d. Impoundment may be a necessary element in the achievement of the previously  
13 approved postmining land use (such as a stock pond for pastureland if no other nearby source of  
14 water is available to the livestock); or

15          e. Impoundment was originally planned to be left for the purpose, in whole or in part, of  
16 enhancing fish and wildlife and related environmental values;

17          26. A proposal to approve an exemption from the requirement to pass drainage through a  
18 sedimentation pond for a disturbed area that, due to unexpected field conditions, will not drain to  
19 an approved sedimentation pond if:

20          a. There has not been any acid drainage or drainage containing concentrations of total iron  
21 or manganese from this or nearby areas of the mine that could result in water quality violations if  
22 untreated and none is expected based on overburden analysis;

b. The application contains a justification that it is not feasible to control the drainage by a sedimentation pond;

c. The disturbed area is one (1) acre or less;

d. The application contains a plan to immediately implement alternate sedimentation control measures including, at a minimum, mulching, silt fences, straw bale dikes, and establishment of a quick growing temporary vegetative cover;

e. The application contains sufficient plan views and cross sections certified by a registered professional engineer to clearly illustrate the feasibility of the proposal and the location of the alternate control methods (minimum scale one (1) inch equals 100 feet); and

f. The application contains an MRP map certified by a professional engineer showing the location of the disturbed area and the drainage area clearly; and

27. A proposal to use the Reclamation Advisory Memorandum #124 reclamation practice on sites where the permittee is required to establish trees and shrubs as part of the approved reclamation plan if there is a letter of consent from the property owner.

(e) Proposed minor revisions that only seek to change the engineering design of impoundments and diversions of overland flow if no change in permit boundary is involved shall not be subject to the administrative completeness determination of Section 13(2) of this administrative regulation.

1. Within ten (10) days the cabinet shall process the application and provide a written notice stating the application has been determined to be subject to this paragraph and is being forwarded to technical review.

2. The time frame for review in Section 16(1)(a)3 of this administrative regulation shall begin at the time of this notice.



1 (f) An incidental boundary revision shall be deemed a minor revision if it:

2 1. Does not exceed ten (10) percent of the relevant surface or underground acreage in the  
3 original or amended permit area;

4 2. Is contiguous to the current permit area;

5 3. Is within the same watershed as the current permit area;

6 4. Is required for an orderly continuation of the mining operation;

7 5. Involves mining of the same coal seam or seams as in the current permit;

8 6. Involves only lands for which the hydrologic and geologic data and the probable  
9 hydrologic consequences determination in the current permit are applicable;

10 7. Does not involve a property on which mining is prohibited pursuant to KRS 350.085 and  
11 405 KAR 24:040, unless a waiver has been obtained, or that has been designated as unsuitable for  
12 mining pursuant to 405 KAR 24:030, or is a property eligible for listing on the National Register  
13 of Historic Places;

14 8. Does not involve any of the categories of mining in 405 KAR 7:060 and 405 KAR 8:050  
15 unless the current permit already includes the relevant category;

16 9. Does not constitute a change in the current method of mining; and

17 10. Shall be reclaimed in conformity with the current reclamation plan.

18 (g) Extensions of the underground mining area that are not incidental boundary revisions  
19 and do not include planned subsidence or other new proposed surface disturbances shall be minor  
20 revisions.

21 (4) An extension to the area covered by a permit, except for incidental boundary revisions,  
22 shall be made by application for a new or amended permit and shall not be approved pursuant to  
23 this section.

(5) Size limitations for incidental boundary revisions.

(a) For surface mining activities, an incidental boundary revision shall not exceed ten (10) percent of the acreage in the original or amended permit area and shall not exceed twenty (20) acres.

(b) For underground mining activities and auger mining, an incidental boundary revision for a surface operation and an incidental boundary revision for underground workings shall be determined separately.

1. For surface operations, an incidental boundary revision shall not exceed the greater of two (2) acres or ten (10) percent of the acreage of surface operations in the original or amended permit area and shall not exceed twenty (20) acres.

2. For underground workings, an incidental boundary revision shall not exceed ten (10) percent of the acreage of underground workings in the original or amended permit area and shall not exceed twenty (20) acres.

(c)1. Cumulative incidental acreage added by successive incidental boundary revisions shall not exceed the limitations in this subsection.

2. Acreage added by incidental boundary revisions prior to a permit amendment shall not be counted toward cumulative incidental acreage after the amendment.

(6) Operator change revisions.

(a) This subsection shall apply to all operator changes that do not constitute a transfer, assignment, or sale of permit rights.

(b) A permittee proposing to change the operator approved in the permit shall submit a complete and accurate application for approval of the change.

(c) The application shall include:

1           1. The permit number, the name and business address of the permittee, the telephone  
2   number of the permittee, and the identifying number assigned to the permittee by the cabinet;

3           2. The name, business address, and telephone number of the operator approved in the  
4   permit, and the identifying number, if any, assigned to the approved operator by the cabinet;

5           3. For the proposed operator and persons related to the proposed operator through  
6   ownership or control, the same information as required for applicants and persons related to  
7   applicants through ownership or control by Sections 2(1) through (4) and (8) of 405 KAR 8:030  
8   and 405 KAR 8:040, and Sections 2(11) through (13) of those administrative regulations; and

9           4. For the proposed operator and persons related to the proposed operator through  
10   ownership or control, the same information as required for applicants and persons related to  
11   applicants through ownership or control by 405 KAR 8:030, Section 3 and 8:040 shall be required,.

12           (d) The application shall be verified under oath by the permittee and the proposed operator  
13   in the manner required pursuant to Section 7 of this administrative regulation.

14           (e) On or after the date the application has been submitted to the cabinet, the application  
15   shall be advertised in the newspaper of largest bona fide circulation, according to KRS 424.110 to  
16   424.120, in the county where the proposed surface coal mining and reclamation operations are to  
17   be located.

18           1. The advertisement shall be entitled "Notice of Intention to Mine" and shall be as  
19   established in Section 8(5) of this administrative regulation.

20           2. A copy of the advertisement and proof of publication shall be filed with the cabinet and  
21   made a part of the application not later than fifteen (15) days after the date of publication. The  
22   advertisement shall include:

23           a. The permit number;

- 1           b. The geographic location of the permit area;
- 2           c. The name and business address of the permittee;
- 3           d. A statement that the permittee proposes to change the operator approved in the permit;
- 4           e. The names and business addresses of the currently approved operator and the proposed
- 5 operator;
- 6           f. The cabinet address to which written comments may be sent pursuant to paragraph (f) of
- 7 this subsection; and
- 8           g. The time available for submission of the comments.
- 9           (f) A person whose interests are or may be adversely affected by the cabinet's decision on
- 10 the proposed operator change, including an officer of a federal, state, or local government agency,
- 11 may submit written comments on the application to the cabinet within fifteen (15) days after the
- 12 date of publication of the advertisement.
- 13           (g) The cabinet shall approve or disapprove the proposed operator change if it finds, in
- 14 writing, that the proposed operator:
- 15           1. Is eligible to act as an operator pursuant to the criteria in Section 13(4) of this
- 16 administrative regulation; and
- 17           2. Meets the other applicable requirements of KRS Chapter 350 or 405 KAR Chapters 7
- 18 through 24.
- 19           (h)1. The cabinet shall notify in writing the permittee, the proposed operator, and any
- 20 commenters on the application, of its decision to approve or deny the application within fifteen
- 21 (15) working days after the close of the public comment period pursuant to paragraph (f) of this
- 22 subsection.

2. A period of temporary withdrawal shall not be counted against the fifteen (15) working day period available to the cabinet. If the notice, hearing, and conference procedures mandated by KRS Chapter 350 and KAR Title 405 prevent a decision from being made within the time period established in this paragraph, then the cabinet shall have additional time to issue its decision, but not to exceed twenty (20) days from the completion of the notice, hearing, and conference procedures.

(7) Fees. An application for a revision shall include a basic fee, except that a minor field revision and an operator change revision shall not have a basic fee.

(a) The fee for a revision shall be \$1,750 for a major revision and \$750 for a minor revision.

(b) If the revision application proposes an incidental boundary revision that would increase the acreage in the permit, an additional acreage fee of seventy-five (75) dollars per acre, or fraction thereof, shall be included with the application. An acreage fee shall not be required for shadow area that will not be affected by surface operations and facilities.

Section 21. Permit Renewals. (1) General requirements for renewal. Any valid, existing permit issued pursuant to 405 KAR Chapter 8 shall carry with it the right of successive renewal, within the approved boundaries of the existing permit, upon expiration of the term of the permit.

(2) Contents of renewal applications. An application for renewal of a permit shall be submitted within the time established by Section 2(2)(b) of this administrative regulation. Renewal applications shall be submitted on form MPA-09, Application for Renewal of a Mining Permit, and in accordance with this section, and shall include:

(a) The name and address of the permittee, the term of the renewal requested and the permit number;

1 (b) A copy of the proposed newspaper notice and proof of publication of same pursuant to  
2 Section 8 of this administrative regulation;

3 (c) Evidence that liability insurance pursuant to 405 KAR 10:030, Section 4, for the  
4 proposed period of renewal;

5 (d) A renewal fee of \$750;

6 (e) Evidence that the performance bond shall continue in effect for any renewal requested,  
7 as well as any additional bond required by the cabinet pursuant to 405 KAR 10:020; and

8 (f) Any additional, updated, or revised information required to demonstrate compliance  
9 with KRS Chapter 350 and 405 KAR Chapters 7 - 24.

10 (3) An application for renewal shall be subject to the requirements of Sections 8 through  
11 11, 13, and 16 of this administrative regulation.

12 (4) An application for renewal shall not include any proposed revisions to the permit.  
13 Revisions shall be made by separate application and shall be subject to the requirements of Section  
14 20 of this administrative regulation.

15 (5) Term of renewal. Any permit renewal shall be for a term not to exceed the period of  
16 the original permit established pursuant to Section 17 of this administrative regulation.

17 (6) Approval or denial of renewal applications.

18 (a) The cabinet shall approve a complete and accurate application for permit renewal,  
19 unless it finds, in writing, that:

20 1. The terms and conditions of the existing permit are not being satisfactorily met;

21 2. The present surface coal mining and reclamation operations are not in compliance with  
22 the environmental protection standards pursuant to KRS Chapter 350 and 405 KAR Chapters 7  
23 through 24;

1           3. The requested renewal substantially jeopardizes the applicant's continuing responsibility  
2 to comply with KRS Chapter 350 and 405 KAR Chapters 7 through 24 on existing permit areas;

3           4. The applicant has not provided evidence that any performance bond required for the  
4 operations shall continue in effect for the proposed period of renewal, as well as any additional  
5 bond the cabinet might require pursuant to 405 KAR Chapter 10;

6           5. Any additional revised or updated information required by the cabinet pursuant to this  
7 administrative regulation has not been provided by the applicant; or

8           6. The applicant has not provided evidence of having liability insurance in accordance with  
9 405 KAR 10:030, Section 4.

10          (b) In determining if to approve or deny a renewal, the burden shall be on the opponents of  
11 renewal.

12          (c) The cabinet shall send copies of its decision to the applicant, any persons who filed  
13 objections or comments to the renewal, any persons who were parties to any informal conference  
14 held on the permit renewal, and to the field office director of the Office of Surface Mining  
15 Reclamation and Enforcement.

16          (d) Any person having an interest that is or may be adversely affected by the decision of  
17 the cabinet shall have the right to administrative and judicial review established in Section 24 of  
18 this administrative regulation.

19          Section 22. Transfer, Assignment, or Sale of Permit Rights. (1) General. A transfer,  
20 assignment, or sale of the rights granted pursuant to any permit issued pursuant to KAR Title 405  
21 shall not be made without the prior written approval of the cabinet, in accordance with this section.

22          (2) Application requirements. An applicant (successor) for approval of the transfer,  
23 assignment, or sale of permit rights shall:

1 (a) Provide a complete and accurate application for the approval of the proposed transfer,  
2 assignment, or sale. The application shall be signed by both the existing holder of permit rights  
3 and the applicant for succession and the applicant shall submit:

4 1. The name and address of the existing permittee and the permit number;

5 2. A brief description of the proposed action requiring approval;

6 3. The legal, financial, compliance, and related information required by 405 KAR 8:030,  
7 Sections 2 through 10 and 405 KAR 8:040, Sections 2 through 10; and

8 4. A processing fee of \$750;

9 (b) Advertise the filing of the application in the newspaper of largest bona fide circulation,  
10 according to KRS 424.110 to 424.120, in the county where the operations are located, indicating  
11 the name and address of the applicant, the original permittee, the permit number, the geographic  
12 location of the permit, and the address to which written comments may be sent pursuant to  
13 subsection (3) of this section; and

14 (c) Obtain sufficient performance bond coverage that shall ensure reclamation of all lands  
15 affected by the permit, including areas previously affected by the existing permittee on the permit  
16 being transferred.

17 (3) Public participation. Any person whose interests are or may be adversely affected by a  
18 decision on the transfer, assignment, or sale of permit rights, including an official of any federal,  
19 state, or local government agency, may submit written comments on the application to the cabinet  
20 within fifteen (15) days of the date of publication of the advertisement.

21 (4) Criteria for approval. The cabinet may allow a permittee to transfer, assign, or sell  
22 permit rights to a successor if it finds, in writing, that the successor:



1 (a) Is eligible to receive a permit in accordance with the criteria established in Section 14  
2 of this administrative regulation;

3 (b) Has submitted a performance bond, in accordance with 405 KAR Chapter 10, which  
4 shall ensure reclamation of all lands affected by the permit, including areas previously disturbed  
5 by the existing permittee on the permit being transferred and that is at least equivalent to the bond  
6 of the existing permittee; and

7 (c) Has submitted proof that liability insurance, as required by 405 KAR 10:030, Section  
8 4, has been obtained; and

9 (d) Meets all requirements necessary to ensure compliance with KRS Chapter 350 or 405  
10 KAR Chapters 7 through 24.

11 (5) Notice of decision. The cabinet shall notify the original permittee, the successor, any  
12 commenters or objectors, and the field office director of the Office of Surface Mining Reclamation  
13 and Enforcement of its final decision.

14 (6) Permit reissuance. After receiving the notice established in subsection (5) of this  
15 section, the successor shall immediately provide proof to the cabinet of the consummation of the  
16 transfer, assignment, or sale of permit rights. Upon submission of this proof, the cabinet shall  
17 reissue the original permit in the name of the successor.

18 (7) Rights of successor.

19 (a) All rights and liabilities pursuant to the original permit shall pass to the successor upon  
20 reissuance of the permit, except that the original permittee shall remain liable for any civil penalties  
21 resulting from violations occurring prior to the date of reissuance of the permit.

22 (b) The cabinet shall not approve transfer of a surface coal mining permit to any person  
23 who would be ineligible to receive a new permit pursuant to KRS 350.130(3).

1 (8) Requirements for new permits for persons succeeding to rights granted pursuant to a  
2 permit.

3 (a) A successor in interest who is able to obtain appropriate bond coverage may continue  
4 surface coal mining and reclamation operations according to the approved mining and reclamation  
5 plan and permit of the original permittee.

6 (b) A successor in interest seeking to change the conditions of mining or reclamation  
7 operations or any of the terms or conditions of the original permit shall make application for a new  
8 permit, revision, or amendment, as appropriate.

9 (9) Release of bond liability. The cabinet shall release the prior permittee from bond  
10 liability on the permit area if the successor in interest has:

11 (a) Filed a performance bond satisfactory to the cabinet;

12 (b) Received written approval of the cabinet for the transfer, sale, or assignment of rights;

13 (c) Submitted proof of execution of the agreement; and

14 (d) Assumed the liability pursuant to KAR Title 405 for the reclamation of the areas  
15 affected by all prior permittees.

16 Section 23. Amendments. (1) Except for an incidental boundary revision, an extension to  
17 an area covered by a permit shall not be approved, as established in Sections 20 (permit revisions)  
18 or 21 (permit renewals) of this administrative regulation.

19 (a) An extension shall be made by application for another permit.

20 (b) If the permittee desires to add the new area to an existing permit in order to have existing  
21 areas and new areas under one (1) permit, the cabinet shall amend the original permit, if the  
22 applicant complies with procedures and requirements applicable to an application for an original  
23 permit in accordance with KAR Title 405 amend the original permit, but the application for the

1 new area shall be subject to all procedures and requirements applicable to applications for original  
2 permits pursuant to KAR Title 405.

3 (2) A fee for an amendment to existing permits shall be submitted to the cabinet as  
4 established in Section 6(2) of this administrative regulation.

5 Section 24. Administrative and Judicial Review. (1) Following the final decision of the  
6 cabinet concerning the application for a permit, revision, or renewal thereof, application for  
7 transfer, sale, or assignment of rights or concerning an application for coal exploration, the  
8 applicant, permittee, or any person with an interest that may be adversely affected may request a  
9 hearing on the reasons for the final decision. The request shall be in accordance with 400 KAR  
10 1:110, Section 8.

11 (2) Any applicant or any person with an interest that may be adversely affected and who  
12 has participated in the administrative proceedings as an objector shall have the right to:

13 (a) Judicial review as provided in KRS 350.0301 and 350.0305 if the applicant or person  
14 is aggrieved by the decision of the cabinet in an administrative hearing requested pursuant to  
15 subsection (1) of this section; or

16 (b) An action in mandamus pursuant to KRS 350.250 if the cabinet fails to act within time  
17 limits established in KRS Chapter 350 or 405 KAR Chapters 7 through 24.

18 Section 25. Improvidently Issued Permits. (1) Permit review. If the cabinet has reason to  
19 believe that it improvidently issued a surface coal mining and reclamation permit, the cabinet shall  
20 review the circumstances under which the permit was issued, using the criteria in subsection (2)  
21 of this section. If the cabinet finds that the permit was improvidently issued, the cabinet shall  
22 comply with subsection (3) of this section.

1           (2) Review criteria. The cabinet shall find that a surface coal mining and reclamation permit  
2 was improvidently issued if:

3           (a) Pursuant to the violation review criteria of the cabinet upon permit issuance:

4           1. The cabinet should not have issued the permit because of an unabated violation or a  
5 delinquent penalty or fee; or

6           2. The permit was issued on the presumption that a notice of violation was in the process  
7 of being corrected to the satisfaction of the agency with jurisdiction over the violation, but a  
8 cessation order subsequently was issued;

9           (b) The violation, penalty, or fee:

10          1. Remains unabated or delinquent; and

11          2. Is not the subject of a good faith appeal, or of an abatement plan or payment schedule  
12 with which the permittee or other person responsible is complying to the satisfaction of the  
13 responsible agency; and

14          (c) If the permittee was linked to the violation, penalty, or fee through ownership or control,  
15 pursuant to the violations review criteria of the regulatory program upon permit issuance an  
16 ownership or control link between the permittee and the person responsible for the violation,  
17 penalty, or fee still exists, or if the link was severed the permittee continues to be responsible for  
18 the violation, penalty, or fee.

19          (3) Remedial measures. If the cabinet, pursuant to subsection (2) of this section, finds that  
20 because of an unabated violation or a delinquent penalty or fee a permit was improvidently issued,  
21 the cabinet shall use one (1) or more of the following remedial measures:

1 (a) Implement, with the cooperation of the permittee or other person responsible, and of  
2 the responsible agency, a plan for abatement of the violation or a schedule for payment of the  
3 penalty or fee;

4 (b) Impose on the permit a condition requiring that in a specified period of time the  
5 permittee or other person responsible abate the violation or pay the penalty or fee;

6 (c) Suspend the permit until the violation is abated or the penalty or fee is paid; or

7 (d) Rescind the permit pursuant to subsection (4) of this section.

8 (4) Rescission procedures. If the cabinet, pursuant to subsection (3)(d) of this section, elects  
9 to rescind an improvidently issued permit, the cabinet shall serve on the permittee a notice of  
10 proposed suspension and rescission that includes the reasons for the finding of the cabinet pursuant  
11 to subsection (2) of this section and states that:

12 (a) Automatic suspension and rescission. After a specified period of time not to exceed  
13 ninety (90) days the permit automatically shall become suspended, and not to exceed ninety (90)  
14 days thereafter rescinded, unless within those periods the permittee submits proof, and the cabinet  
15 finds, that:

16 1. The finding of the cabinet pursuant to subsection (2) of this section was erroneous;

17 2. The permittee or other person responsible has abated the violation on which the finding  
18 was based, or paid the penalty or fee, to the satisfaction of the responsible agency;

19 3. The violation, penalty, or fee is the subject of a good faith appeal, or of an abatement  
20 plan or payment schedule with which the permittee or other person responsible is complying to  
21 the satisfaction of the responsible agency; or

1           4. Since the finding was made, the permittee has severed any ownership or control link  
2 with the person responsible for, and does not continue to be responsible for, the violation, penalty,  
3 or fee;

4           (b) Cessation of operations. After permit suspension or rescission, the permittee shall cease  
5 all surface coal mining and reclamation operations pursuant to the permit, except for violation  
6 abatement and for reclamation and other environmental protection measures as required by the  
7 cabinet; and

8           (c) Right to request a formal hearing. Any permittee aggrieved by the notice may request  
9 a formal hearing. A formal hearing shall be in accordance with 400 KAR 1:110, Section 9.

10          Section 26. Incorporation by Reference. (1) The following material is incorporated by  
11 reference:

12           (a) "Preliminary Application", MPA-00, October 2017;

13           (b) "Permittee Information for a Mining Permit", MPA-01, August 2010;

14           (c) "Operator Information for a Mining Permit", MPA-02, August 2010;

15           (d) "Technical Information for a Mining Permit", MPA-03, October 2017;

16           (e) "Surface Owner's Affidavit: Lands Historically Used for Cropland", MPA-03-20.1.B,  
17 November 1991;

18           (f) "Disinterested Third Party Affidavit: Lands Historically Used for Cropland", MPA-03-  
19 20.1.C, November 1991;

20           (g) "Update of Permittee or Operator Information", MPA-05, August 2010;

21           (h) "Change of Corporate Owners, Officers or Directors", MPA-06, October 2017;

22           (i) "Application to Transfer a Mining Permit", MPA-07, June 2013;

23           (j) "Revision Application to Change Operator", MPA-08, August 2010;

1 (k) "Application for Renewal of a Mining Permit", MPA-09, August 2017;

2 (l) "Application for a Coal Marketing Deferment", MPA-10, August 2017

3 (m) "Minor Field Revision Application Form", SME 80, revised August 2010; and

4 (n) "Reclamation Advisory Memorandum #124, Reforestation Initiative", March 1997.

5 (2) This material may be inspected, copied, or obtained, subject to applicable copyright  
6 law, at the Kentucky Department for Natural Resources, 300 Sower Boulevard, Frankfort,  
7 Kentucky 40601, Monday through Friday, 8 a.m. to 4:30 p.m.

405 KAR 8:010 approved for filing.  
Pages (1-55)

9/13/2019  
Date

Charles G. Snavely  
Charles G. Snavely, Secretary  
Energy and Environment Cabinet



**PUBLIC HEARING AND PUBLIC COMMENT PERIOD:** A public hearing on this administrative regulation shall be held on November 26, 2019 at 5:00 P.M. (Eastern Time) in Training Room C of the Energy and Environment Cabinet at 300 Sower Blvd, Frankfort, Kentucky. Individuals interested in being heard at this hearing shall notify this agency five workdays prior to the hearing, of their intent to attend. If no notification of intent to attend the hearing is received by that date, the hearing may be cancelled. This hearing is open to the public. Any person who wishes to be heard will be given an opportunity to comment on the proposed administrative regulation. A transcript of the public hearing will not be made unless a written request for a transcript is made. If you do not wish to be heard at the public hearing, you may submit written comments on the proposed administrative regulation. Written comments shall be accepted through November 30, 2019. Send written notification of intent to attend the public hearing or written comments on the proposed administrative regulation to the contact person.

**CONTACT PERSON:** Michael Mullins, Regulation Coordinator, 300 Sower Blvd, Frankfort, Kentucky 40601, phone: (502) 782-6720, fax: (502) 564-4245, email: michael.mullins@ky.gov.

## REGULATORY IMPACT ANALYSIS AND TIERING STATEMENT

Administrative Regulation No.: 405 KAR 8:010  
Contact Person: Michael Mullins

Contact number: (502) 782-6720  
Email: michael.mullins@ky.gov

(1) Provide a brief summary of:

(a) What this administrative regulation does: This administrative regulation establishes provisions for permits to conduct mining operations.

(b) The necessity of this administrative regulation: This administrative regulation is necessary to establish the coal mining permitting process.

(c) How this administrative regulation conforms to the content of the authorizing statutes: KRS 350.060 requires an entity to obtain a permit prior to conducting mining operations. This administrative regulation provides information related to the permitting process.

(d) How this administrative regulation currently assists or will assist in the effective administration of the statutes: This administrative regulation currently assists in the effective administration of the statutes by providing permit standards that are to be followed by regulated entities that wish to obtain a permit.

(2) If this is an amendment to an existing administrative regulation, provide a brief summary of:

(a) How the amendment will change this existing administrative regulation: This amendment simply deletes a statement that includes outdated references and that only indicates the requirements from those two citations (405 KAR 1:090 and 405 KAR 1:110) do not apply. These two referenced administrative regulations have been repealed and therefore the citations are being deleted.

(b) The necessity of the amendment to this administrative regulation: This amendment is necessary to remove citations to administrative regulations that have been repealed.

(c) How the amendment conforms to the content of the authorizing statutes: This amendment conforms to the authorizing statutes by ensuring incorrect citations are removed from the administrative regulation.

(d) How the amendment will assist in the effective administration of the statutes: KRS 350.028 and 350.465 require the cabinet to promulgate administrative regulations pertaining to permits for surface coal mining and reclamation operations. This administrative regulation simply removes citations to administrative regulations that were repealed in 2018.

(3) List the type and number of individuals, businesses, organizations, or state and local governments affected by this administrative regulation: This provision would apply to any entity that wishes to obtain a permit to mine coal within the Commonwealth.

(4) Provide an analysis of how the entities identified in question (3) will be impacted by either the implementation of this administrative regulation, if new, or by the change, if it is an amendment, including:

(a) List the actions that each of the regulated entities identified in question (3) will have to take to comply with this administrative regulation or amendment: The entities listed in question (3) above will be subject to the same requirements prior to this amendment. The amendment simply deletes a reference to an administrative regulation that was repealed in 2018

(b) In complying with this administrative regulation or amendment, how much will it cost each of the entities identified in question (3): There is not a cost increase associated with the proposed amendment.

(c) As a result of compliance, what benefits will accrue to the entities identified in question (3): The benefit associated with this amendment will be minimal. The regulated entity will have an administrative regulation that has corrected information.

(5) Provide an estimate of how much it will cost the administrative body to implement this administrative regulation:

(a) Initially: There will be no costs to the department associated with implementation of this amendment.

(b) On a continuing basis: There will be no costs to the department associated with implementation of this amendment.

(6) What is the source of the funding to be used for the implementation and enforcement of this administrative regulation: The funding for implementation of the amendments to this administrative regulation will be a combination of general funds and restricted funds.

(7) Provide an assessment of whether an increase in fees or funding will be necessary to implement this administrative regulation, if new, or by the change if it is an amendment: The amendments to this administrative regulation will not require an increase in fees or funding.

(8) State whether or not this administrative regulation established any fees or directly or indirectly increased any fees: This administrative regulation does not establish or increase any fees.

(9) TIERING: Is tiering applied? (Explain why or why not) No. All entities that want to obtain a coal mine permit will be required to meet the same requirements.

## FISCAL NOTE ON STATE OR LOCAL GOVERNMENT

Administrative Regulation No.: 405 KAR 8:010  
Contact Person: Michael Mullins, Reg. Coordinator

Contact number: (502) 782-6720  
Email: Michael.mullins@ky.gov

1. What units, parts or divisions of state or local government (including cities, counties, fire departments, or school districts) will be impacted by this administrative regulation? The Division of Mine Permits.

2. Identify each state or federal statute or federal regulation that requires or authorizes the action taken by the administrative regulation. KRS 350.020, 350.028, 350.060, 350.135, 350.450, 350.465, 350.515, 30 C.F.R. Parts 730-733, 735, 773-775, 777, 778.17, 917.

3. Estimate the effect of this administrative regulation on the expenditures and revenues of a state or local government agency (including cities, counties, fire departments, or school districts) for the first full year the administrative regulation is to be in effect.

(a) How much revenue will this administrative regulation generate for the state or local government (including cities, counties, fire departments, or school districts) for the first year? This amended administrative regulation will not generate any new revenue for the state or local government.

(b) How much revenue will this administrative regulation generate for the state or local government (including cities, counties, fire departments, or school districts) for subsequent years? This amended administrative regulation will not generate revenue in subsequent years.

(c) How much will it cost to administer this program for the first year? There will not be a cost increase associated with the amendments to this administrative regulation.

(d) How much will it cost to administer this program for subsequent years? Future costs would remain unchanged related to this amendment.

Note: If specific dollar estimates cannot be determined, provide a brief narrative to explain the fiscal impact of the administrative regulation.

Revenues (+/-):	There is no known effect on current revenues.
Expenditures (+/-):	There is no known effect on current expenditures.
Other Explanation:	There is no further explanation.

## FEDERAL MANDATE ANALYSIS COMPARISON

Administrative Regulation No.: 405 KAR 8:010  
Contact Person: Michael Mullins, Reg. Coordinator

Contact number: (502) 782-6720  
Email: Michael.mullins@ky.gov

1. Federal statute or regulation constituting the federal mandate. 30 C.F. R. Parts 777, 778, and 773-775.
2. State Compliance Standards. KRS 350.060.
3. Minimum or uniform standards contained in the federal mandate. The C.F.R. citations listed above set the minimum information related to the issuance of surface mining permits.
4. Will this administrative regulation impose stricter requirements, or additional or different responsibilities or requirements, than those required by the federal mandate? No. The amendments simply remove outdated references to administrative regulations that were repealed in 2018. The removal of this information does not make the administrative regulation more stringent than the corresponding federal administrative regulation.
5. Justification for the imposition of the stricter standard, or additional or different responsibilities or requirements. NA

